



# **Electronics Records Management and Managing Government Records Directive**

**Council of Federal Executive Secretariats**


**November 3 , 2015**

**Lisa Haralampus**

**Office of the Chief Records Officer**

**National Archives and Records Administration**

# ERM Policy Overview

- Nov 2011 [Presidential Memo](#) 
- Aug 2012 [OMB/NARA Directive](#)  
- Aug 2013 [Capstone Bulletin](#) 
- Jan 2014 [Format Bulletin](#) 
- Sep 2014 [OMB/NARA Memo](#) and [Email Bulletin](#)  
- Nov 2014 [New FRA Law](#) 
- July 2015 [Electronic Messaging Bulletin](#) 
- Sept 2015 [Metadata Bulletin](#) 

# Transition to Digital Government



EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
WASHINGTON, D.C. 20408




August 24, 2012

M-12-18

**MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND  
AGENCIES AND INDEPENDENT AGENCIES**

**FROM:** Jeffrey D. Zients   
Acting Director  
Office of Management and Budget

David S. Ferriero   
Archivist of the United States  
National Archives and Records Administration

**SUBJECT: Managing Government Records Directive**

On November 28, 2011, President Obama signed the [Presidential Memorandum – Managing Government Records](#). This memorandum marked the beginning of an Executive Branch-wide effort to reform records management policies and practices and to develop a 21st-century framework for the management of Government records. The expected benefits of this effort include:

# Directive Goals

1

Require electronic recordkeeping to ensure transparency, efficiency, and accountability

2

Demonstrate compliance with Federal records management statutes and regulations

## Goal #1:



By **2019**, agencies manage all permanent electronic records in electronic formats



By **2016**, agencies manage permanent and temporary email in accessible, electronic format

## Goal #2:



Demonstrate compliance with Federal records management statutes and regulations:

- Role of Senior Agency Officials
- Require training



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September 15, 2014

**M-14-16**

**MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES  
AND INDEPENDENT AGENCIES**

**FROM:** Beth F. Cobert   
Deputy Director for Management  
Office of Management and Budget

David S. Ferriero   
Archivist of the United States  
National Archives and Records Administration

**SUBJECT: Guidance on Managing Email**

Reforming records management policies and practices and developing a 21<sup>st</sup>-century framework for the management of government records is a priority for this Administration. Recognizing the importance of managing email records, the Administration has specifically focused on the proper management of these records. The attached guidance reaffirms the importance of recordkeeping and is a reminder that agencies, and employees, are responsible for properly managing and retaining email records.

# NARA Bulletin 2014-06

September 15, 2014

**TO:** Heads of Federal Agencies

**SUBJECT:** Guidance on Managing Email

**EXPIRATION DATE:** Expires when revoked or superseded

## 1. What is the purpose of this Bulletin?

This Bulletin reminds Federal agencies about their records management responsibilities regarding email. This is especially important in light of the requirement in the [Managing Government Records Directive \(OMB M-12-18\)](#) for all email to be managed electronically by December 31, 2016. In addition, recent disclosures by agencies have put this issue into more prominent focus. NARA will continue to issue guidance that assists agencies in meeting the goals of the Directive and Federal records management requirements under the Federal Records Act and associated regulations.

## 2. Are emails Federal records?

NARA has issued many bulletins, FAQs, regulations, and agency records management training sessions that provide guidance on Federal email management (see list in Question 9). Each has stated emails that are Federal records must be managed for their entire records life cycle. The statutory definition of Federal records is found at [44 U.S.C. 3301](#) and is further explained in the Code of Federal Regulations at [36 CFR 1222.10](#).

## AC 39.2015

September 16, 2015

### **MEMORANDUM TO FEDERAL AGENCY CONTACTS:** GRS Transmittal 25 - GRS 6.1, Email Managed Under a Capstone Approach

The Office of the Chief Records Officer is happy to announce the publication of GRS Transmittal 25, which issues GRS 6.1, Email Managed Under a Capstone Approach. The transmittal only adds new chapter GRS 6.1; all schedules in Transmittal 24 are still current and active.

GRS 6.1 is available only to agencies implementing a [Capstone approach](#) to managing email. Agencies choosing to use this GRS must submit a [verification form](#) (Form NA-1005) prior to implementation and must disseminate the schedule within 6 months. NOTE: Some browsers do not support viewing of PDF documents. For best results, it is recommend that Firefox or Internet Explorer be used to open the form, or that the form be downloaded directly.

NARA will release an online training module on how to fill out the verification form on **October 13, 2015**. The time between release of this Transmittal and release of this training will ensure that agencies have adequate time to review the GRS, its affiliated FAQ, and the verification form prior to the training. Agency Records Officers should also begin discussing the transmittal of GRS 6.1 with the appropriate agency stakeholders, including the Senior Agency Official (SAO) for Records Management, General Counsel, and Chief Information Officer. The NARA training is not mandatory, but encouraged. Agencies may begin completing the verification form at any time.

For more information, please see the [GRS web page](#). If you have any questions about the GRS, please contact [GRS\\_Team@nara.gov](mailto:GRS_Team@nara.gov).

**PAUL M. WESTER, JR.**  
Chief Records Officer  
for the U.S. Government

**Attachment:**  
[GRS Transmittal 25.pdf](#)

# Presidential Records Act and Federal Records Act Amendments of 2014



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Current Legislation

Home > Legislation > 113th Congress > H.R.1233 [Print](#) [Subscribe](#)

## H.R.1233 - Presidential and Federal Records Act Amendments of 2014

113th Congress (2013-2014)

**LAW**

**Sponsor:** [Rep. Cummings, Elijah E. \[D-MD-7\]](#) (Introduced 03/18/2013)

**Committees:** House - Oversight and Government Reform | Senate - Homeland Security and Governmental Affairs

**Committee Reports:** [H. Rept. 113-127](#); [S. Rept. 113-218](#)

**Latest Action:** 11/26/2014 Became [Public Law No: 113-187](#).

**Major Recorded Votes:** 01/14/2014 : [Passed House](#)

**Tracker:**

Introduced > Passed House > Passed Senate > Resolving Differences > To President > **Became Law**

# Summary of the Major Updates

- Strengthening the Federal Records Act by expanding the definition of Federal records to clearly include electronic records.
- Clarifying the responsibilities of federal government officials when using non-government email systems.
- Confirming that Federal electronic records will be transferred to the National Archives in electronic form.
- Authorizing the early transfer of permanent electronic federal and to the National Archives.
- Granting the Archivist of the United States final determination as to what constitutes a federal record.

# NARA Bulletin 2015-02

July 29, 2015

**TO:** Heads of Federal Agencies

**SUBJECT:** Guidance on Managing Electronic Messages

**EXPIRATION DATE:** Expires when revoked or superseded

## 1. What is the purpose of this Bulletin?

This Bulletin provides records management guidance for electronic messages. Specifically, this Bulletin applies to text messaging, chat/instant messaging, messaging functionality in social media tools or applications, voice messaging, and similar forms of electronic messaging systems. There are a wide variety of systems and tools that create electronic messages. This Bulletin will help agencies develop strategies for managing their electronic messages.

This Bulletin replaces the [FAQ About Instant Messaging](#). This Bulletin does not contain guidance for email. For guidance on email and social media, see Question 11.

## 2. What are electronic messages?

The Federal Records Act was amended in November 2014 and added a new definition for electronic messages at 44 U.S.C. 2911. The law states, "The term 'electronic messages' means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals."

# Can electronic messages be Federal records?

Electronic messages created or received in the course of agency business are Federal records.

These records must be captured and managed in compliance with Federal records management laws, regulations, and policies.

# Electronic messages created in personal accounts

- Personal accounts should only be used in exceptional circumstances
- Agencies must provide instructions to all employees on their responsibility to capture electronic messages created or received in personal accounts



# Automated ERM Report/Plan



NATIONAL  
ARCHIVES

OFFICE *of the*  
CHIEF RECORDS  
OFFICER

## MANAGING GOVERNMENT RECORDS DIRECTIVE

## AUTOMATED ELECTRONIC RECORDS MANAGEMENT REPORT/PLAN

National Archives and Records Administration  
Office of the Chief Records Officer for the U.S. Government

September 19, 2014

# Documenting Your Public Service

- Guidance updated in 2000:  
<http://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html>
- Issued NARA Bulletins [2008-02](#) and [2013-03](#) on protecting federal records from unauthorized removal.
- Current revisions will:
  - Update existing website content
  - Include revisions the FRA and regulations

# Contact

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